

11-26-01

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	UMC-98-048 CON
	First Inventor	Coming CHEN, et al.
	Title	METHOD OF FORMING PARTIAL REVERSE ACTIVE MASK
	Express Mail Label No.	EL523798176US

1c872 U.S. PTO

09/991466

11/21/01

<b>APPLICATION ELEMENTS</b>	Assistant Commissioner for Patents Box Patent Application 2900 Crystal Drive Arlington, VA 22202-3513
1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 3. <input checked="" type="checkbox"/> Specification [ total pages 10 ] (preferred Arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) [ total sheets 4 ] 5. <input type="checkbox"/> Oath or Declaration a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d)) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies <b>ACCOMPANYING APPLICATION PARTS</b> 9. <input type="checkbox"/> Assignment Papers (coversheet/document(s)) 10. <input checked="" type="checkbox"/> 37 CFR. 3.73(b) Statement <input checked="" type="checkbox"/> Power of (when there is an assignee) Attorney 11. <input type="checkbox"/> English Translation Document 12. <input checked="" type="checkbox"/> IDS & Form 1449 <input checked="" type="checkbox"/> Copies of IDS Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) 16. <input checked="" type="checkbox"/> Other: Check for \$740.00, Certificate of Mailing by Express Mail

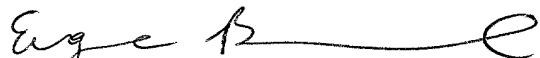
17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09/535,251, filed March 27, 2000, which was a CIP of U.S. Patent Application Serial No. 09/075,618, filed May 11, 1998.  
 Prior application information: Examiner: N. BARRECA Group/Art Unit: 1756

**FOR CONTINUATION OR DIVISIONAL APPS only** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☐ Correspondence address below

Name	25235				
PATENT TRADEMARK OFFICE					
Address					
City	State	ZIP			
Country	US	Telephone	(719) 448-5900	Fax	(303) 899-7333
Name (Print/Type)	Eugene J. Bernard		Registration No.	42,320	
(Signature)			Date	November 21, 2001	

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Coming CHEN, et al

Serial No. Unassigned

Filed: November 21, 2001

For: METHOD OF FORMING PARTIAL  
REVERSE ACTIVE MASK

Examiner: Unassigned

Art Unit: Unassigned

CERTIFICATE OF MAILING BY EXPRESS MAIL

Assistant Commissioner for Patents  
2900 Crystal Drive  
Arlington, VA 22202-3513

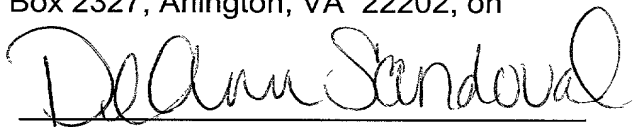
Sir:

The undersigned hereby certifies that the attached


1. Patent Application Transmittal;
2. Preliminary Amendment;
3. Fee Transmittal;
4. Check for \$740.00;
5. Copy of U.S. Patent Application Serial No. 09/535,251;
6. Copy of Revocation of Power of Attorney;
7. Information Disclosure Statement, Form 1449 and  
References;
8. Certificate of Mailing by Express Mail; and
9. Return Card,

relating to the above application, were deposited as "Express Mail," Mailing Label No. EL523798176US with the U.S. Postal Service, addressed to Attention: Box Patent Application, Assistant Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 2327, Arlington, VA 22202, on November 21, 2001.

November 21, 2001

  
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Mailer

November 21, 2001

  
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Eugene J. Bernard, Reg. No. 42,320  
Hogan & Hartson LLP  
1200 17<sup>th</sup> Street, Suite 1500  
Denver, Colorado 80202  
Telephone: (303) 454-2457  
Facsimile: (303) 899-7333

# FEE TRANSMITTAL for FY 2000

Complete if Known

**TOTAL AMOUNT OF PAYMENT (\$)** **(\$740.00)**

Application Number	
Filing Date	November 21, 2001
First Named Inventor	Coming CHEN, et al.
Examiner Name	
Group / Art Unit	
Attorney Docket No.	UMC-98-048 CON

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: **50-1123**

Deposit Account Name: **Hogan & Hartson L.L.P.**

☒ Charge Any Additional Fee Required Under 37 CFR § § 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
390	195	Extension for reply within second month	
890	445	Extension for reply within third month	
1,390	695	Extension for reply within fourth month	
1,890	945	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
240	240	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (x number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination Request for expedited examination of a design application	
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			<b>SUBTOTAL (3) (\$00)</b>

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	<b>740.00</b>
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>			<b>(\$) 740.00</b>

**2. EXTRA CLAIM FEES**

Total Claims	7	Extra Claims	-20**=	0	X	Fee from below	18	=	0
Independent Claims	1		-3**=	0	X		80	=	0
Multiple Dependent					X			=	0

\*\*or number previously paid, if greater, For Reissues, see below

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue ind. claims over orig. patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$00)**

**SUBMITTED BY** Complete (if applicable)

Name (Print/Type) **Eugene J. Bernard**

Registration No (Attorney/Agent)

**42,320**

Telephone

**(303) 454-2457**

Signature

*Eugene J. Bernard*

Date

**November 21, 2001**